

12/20/01


12-31-01

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PTO/SB/05 (08-00)

Approved for use through 10/31/2002 OMB 0651-0032

U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

Please type a plus sign (+) inside this box  Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

NC17077C1

First Inventor

Le, Khiem

Title

Apparatus and Associated Method for Communicating  
Multimedia Information Upon a Communication Link

Express Mail Label No

ET838009068US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 49]  
(preferred arrangement set forth below)  
- Descriptive title of the invention  
- Cross Reference to Related Applications  
- Statement Regarding Fed sponsored R & D  
- Reference to sequence listing, a table,  
or a computer program listing appendix  
- Background of the Invention  
- Brief Summary of the Invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 9]
5. Oath or Declaration [Total Pages 2]  
a. ☐ Newly executed (original or copy)  
b. ☒ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 17 completed)  
i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b)
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)  
a. ☐ Computer Readable Form (CRF)  
b. Specification Sequence Listing on:  
i. ☐ CD-ROM or CD-R (2 copies); or  
ii. ☐ paper  
c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of  
(when there is an assignee) Attorney
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure ☐ Copies of IDS  
Statement (IDS)/PTO-1449 Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Other: .....

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)of prior application No 09 / 283,808

Prior application information:

Examiner D. TonGroup / Art Unit 2661

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**18. CORRESPONDENCE ADDRESS**☐ Customer Number or Bar Code Labelor ☒ Correspondence address below

(Insert Customer No. or Attach bar code label here)

Name

Docket Clerk

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P.O. Box 802432

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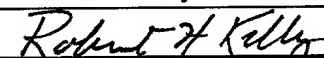
Name (Print/Type)

Robert H. Kelly

Registration No. (Attorney/Agent)

33,922

Signature

Date 7/20/01

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision

TOTAL AMOUNT OF PAYMENT (\$ ) 740.00

## Complete if Known

Application Number	
Filing Date	
First Named Inventor	Khiem Le
Examiner Name	D. Ton
Group Art Unit	2661
Attorney Docket No.	NC17077C1

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 50-0208

Deposit Account Name Novakov Davis & Munck, P.C.

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 710	201 355	Utility filing fee	740.00
106 320	206 160	Design filing fee	
107 490	207 245	Plant filing fee	
108 710	208 355	Reissue filing fee	
114 150	214 75	Provisional filing fee	

SUBTOTAL (1) (\$ ) 740.00

## 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
9	-20** = 0	18.00	0
1	-3** = 0	84.00	0
Multiple Dependent			

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 80	202 40	Independent claims in excess of 3
104 270	204 135	Multiple dependent claim, if not paid
109 80	209 40	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ ) 0

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for <i>ex parte</i> reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 390	216 195	Extension for reply within second month	
117 890	217 445	Extension for reply within third month	
118 1,390	218 695	Extension for reply within fourth month	
128 1,890	228 945	Extension for reply within fifth month	
119 310	219 155	Notice of Appeal	
120 310	220 155	Filing a brief in support of an appeal	
121 270	221 135	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,240	241 620	Petition to revive - unintentional	
142 1,240	242 620	Utility issue fee (or reissue)	
143 440	243 220	Design issue fee	
144 600	244 300	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Petitions related to provisional applications	
126 240	126 240	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	0
146 710	246 355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 710	249 355	For each additional invention to be examined (37 CFR § 1.129(b))	
179 710	279 355	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ ) 0

## SUBMITTED BY

## Complete (if applicable)

Name (Print/Type)	Robert H. Kelly	Registration No. (Attorney/Agent)	33,922	Telephone	(214) 922-9221
Signature	<i>Robert H. Kelly</i>	Date	20 Dec 01		

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

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# NOVAKOV DAVIS & MUNCK

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ATTORNEYS AND  
COUNSELORS

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December 19, 2001

Box PATENT APPLICATION

**EXPRESS MAIL RECEIPT No. ET838009068US**

Commissioner for Patents

Washington, D.C. 20231

Re: U.S. Patent Application for "APPARATUS AND ASSOCIATED METHOD FOR  
COMMUNICATING MULTIMEDIA INFORMATION UPON A  
COMMUNICATION LINK"

Docket No. NC17077-C1 (NOKI02-00108)

Dear Sir:

Enclosed please find the following documents for filing:

- 1) Copy of Specification\* (49 pages);
- 2) Copy of Drawings\* (9 pages);
- 3) Copy of Declaration\* (2 pages);
- 4) Utility Patent Application Transmittal;
- 5) Fee Transmittal (in duplicate);
- 6) Preliminary Amendment;
- 7) Information Disclosure Statement;
- 8) Form PTO-1449;
- 9) Check in the amount of \$740.00;
- 10) Certificate of Mailing by Express Mail; and
- 11) a postcard receipt.

\* The declaration is a copy of the declaration document filed in the priority application of application serial number 09/283,808, filed on April 1, 1999. The copy of the declaration enclosed herewith identifies the attorney docket number to be NC17077-C1 to distinguish the copy of the declaration from the declaration submitted together with the file of the priority application.

Commissioner for Patents  
December 19, 2001  
Page 2

If any problems arise in the filing of the enclosed documents, please contact Robert H. Kelly at (214) 922-9221. The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Novakov Davis Deposit Account No. 50-0208.

Very truly yours,

NOVAKOV DAVIS & MUNCK, P.C.

A handwritten signature in cursive script, reading "Robert H. Kelly".

Robert H. Kelly  
Registration No. 33,922

RHK:dt  
Enclosures

100-436001

DOCKET NO.: NC17077C1  
Client No.: NOKI02-00108

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of : KHIEM LE  
Serial No. : To be assigned  
Filing Date : To be assigned  
Prior Serial No. : 09/283,808  
Prior Filing Date : April 1, 1999  
Prior Examiner : Ton, Dang  
For : APPARATUS AND ASSOCIATED METHOD FOR  
COMMUNICATING MULTIMEDIA INFORMATION UPON A  
COMMUNICATION LINK

Box PATENT APPLICATION  
Commissioner of Patents  
Washington, D. C. 20231

CERTIFICATE OF MAILING BY EXPRESS MAIL

Sir:

The undersigned hereby certifies that the following documents:

- 1) Preliminary Amendment
- 2) Copy of Specification (49 pages) \*
- 3) Drawings (9 pages)\*
- 4) Declaration (2 pages)\*
- 5) Check in the amount of \$740.00
- 6) Utility Transmittal Letter
- 7) Fee Transmittal (in duplicate)
- 8) Information Disclosure Statement
- 9) Form PTO-1449
- 10) Cover Letter
- 11) Postcard Receipt

\*as filed in Application S/N 09/283,808

relating to the above application, were deposited as "Express Mail", Mailing Label No. ET838009068US with the United States Postal Service, addressed to Box Patent Application, Commissioner for Patents, Washington, D.C. 20231, on this 20<sup>th</sup> day of December, 2001.

Date: 20 Dec 01

Diane Taylor  
Mailer

Date: 20 Dec 01

Robert H. Kelly  
Robert H. Kelly, Reg. No. 63,922

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